U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

	sereene are required to reapond to a collect	CHOIT OF INICITIATION CHIESS IC CONTAINS & VAIID CONTO CONTROL NUMBER
	1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1	Complete if Known
Substitute for form 1449A/PTO	Application Numb	er 10/631,243
INFORMATION PROGRESS	Filing Date	July 31, 2003
INFORMATION DISCLOS		tor Kimberly D. Seaman
STATEMENT BY APPLICA	ANT Art Unit	3691
	Examiner Name	Bruce I. Ebersman
(use as many sheets as necess	ary)	
Sheet 1 of	5 Attorney Docket Nu	mber 020420

		U.S	S. PATENT DO	CUMENTS	
Examiner Initials*	Cite No. ¹	Document Number Publication Date Name of Patentee or		Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
,		US-2001/0042785 A1	11-22-2001	Walker et al.	
		US-2002/0091635 A1	07-11-2002	Dilip et al.	
		US-2003/0051164 A1	03-13-2003	Patton	
		US-2003/0074342 A1	04-17-2003	Curtis	
		US-2004/0024693 A1	02-05-2004	Lawrence	
		US-2004/0078321 A1	04-22-2004	Lawrence	
		US-2004/0117302 A1	06-17-2004	Weichert et al.	
		US-2004/0254988 A1	12-16-2004	Rodriguez	
	!	US-2005/0027611 A1	02-03-2005	Wharton	
		US-2005/0091524 A1	04-28-2005	Abe et al.	
		US-2005/0102210 A1	05-12-2005	Song et al.	
		US-2005/0131752 A1	06-16-2005	Gracie et al.	
		US-2005/0216416 A1	09-29-2005	Abrams et al.	
		US-2006/0089894 A1	04-27-2006	Balk et al.	
		US-2008/0262961 A1	10-23-2008	Dellomo et al.	
		US-6,021,397	02-01-2000	Jones et al.	
		US-7,181,493 B2	02-20-2007	English et al.	
		US-7,264,154 B2	09-04-2007	Harris	
		US-7,305,400 B2	12-04-2007	Keith, Jr.	
		US-7,389,265 B2	06-17-2008	Lawrence et al.	
		US-7,469,341 B2	12-23-2008	Edgett et al.	

		FOREIGN F	PATENT DOC	UMENTS		
Examiner Cite		Foreign Patent Document	Publication Date	Name of Patentee or	Pages, Columns, Lines,	
Initials*	No.1	Country Code ³ -Number ⁴ -Kind Code ⁵ (<i>if known</i>)	MM-DD-YYYY	Applicant of Cited Document	Where Relevant Passages or Relevant Figures Appear	L _e
						

		
Examiner	Date	
Signature	Considered	

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

PTO/SB/08B (08-03)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number

	apper trotte trouble trotte to	or 1000; iii	percent are req	and to respond to a concentration informe	SHOT UTILESS IL COTRAITIS A VAIIU CIVID COTILIUT HUTTDET
				Comp	lete if Known
Substitute for fo	orm 1449A/PTO			Application Number	10/631,243
		<u> </u>		Filing Date	July 31, 2003
	MATION DIS			First Named Inventor	Kimberly D. Seaman
STATE	MENT BY A	PPLIC	CANT	Art Unit	3691
				Examiner Name	Bruce I. Ebersman
(use as	many sheets as	neces	ssary)		
Sheet	2	of	5	Attorney Docket Number	020420

		NON PATENT LITERATURE DOCUMENTS	
Examine r Initials*	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ₂
		United States Patent Application No. 12/117,387, filed May 8, 2008 (Attorney Docket No. 030991-BCON).	
		United States Patent Application No. 11/237,501, filed September 28, 2005 (Attorney Docket No. 030991-A).	
		United States Patent Application No. 12/019,964, filed January 25, 2008 (Attorney Docket No. 070045).	
		Notice of Allowance dated January 6, 2009 for United States Patent Application No. 10/631,165, filed July 31, 2003 (Attorney Docket No. 020673).	
		Notice of Allowance dated July 1, 2009 for United States Patent Application No. 10/631,165, filed July 31, 2003 (Attorney Docket No. 020673).	
		BUSINESS EDITORS/HIGH-TECH WRITERS, "Equant Partners with Network Applicance to Improve Enterprise Customers' Access to the Internet and Their Intranet Business Applications," <u>Business Wire</u> , New York, July 31, 2003, p. 1, printed from http://proquest.umi.com/pqdweb?did=377853491&sid=1&Fmt=3&clientId=19649&RQT=309&VName=PQD , Internet site, accessed on 6/21/09, 4 pages.	
		"Customer Identification Program Notice," printed from http://www.tricontinental.com/public/general/cip notice.html, Internet site, accessed on 8/15/2006, 1 page.	
		"Bankers Systems, Inc. develops new product packages to help financial institutions comply with USA PATRIOT Act," Bankers Systems Inc.®, Press Release dated March 4, 2002, printed from http://www.bankerssystems.com/newsroom/Press Releases/press23.html, Internet site, accessed on 8/15/2006, 3 pages.	
:		"Customer Identification Programs Proposed for Mutual Funds," Investment Company Institute, July 18, 2002, printed from http://www.ici.org/issues/fserv/arc-reg/02 treas aml cips.html, Internet site, accessed on 8/15/2006, 2 pages.	
		DIAN VUJOVICH, "The Patriot Act and Mutual Funds," My Weekly Column, printed from http://www.diansfundfreebies.com/other/111003.html , Internet site, accessed on 8/15/2006, 3 pages.	
		"Customer Identification Programs," printed from http://www.choicepoint.net/ChoicePoint/business/financial/patriotact.html , Internet site, accessed on 8/15/2006, 2 pages.	
		"New York Bankers Service Corporation Selects Bankers Systems to Help Member Banks Comply with USA PATRIOT Act," Bankers Systems Inc.®, Press Release dated September 22, 2003, printed from http://www.bankerssystems.com/newsroom/Press Releases/press55.html , Internet site, accesses on 8/15/2006, 2 pages.	

Examiner	Date	
Signature	 Considered	

^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

PTO/SB/08B (08-03)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE spond to a collection of information unless it contains a valid OMB control number.

Under the P	aperwork Reduction Act	or 1995, r	io persons are rec	uired to respond to a collection of inforf	mation unless it contains a valid OMB control number
				Con	plete if Known
Substitute for fo	orm 1449A/PTO			Application Number	10/631,243
				Filing Date	July 31, 2003
	MATION DIS			First Named Inventor	Kimberly D. Seaman
STATE	EMENT BY A	PPLIC	CANT	Art Unit	3691
				Examiner Name	Bruce I. Ebersman
(use as	many sheets as	s nece	ssary)		
Sheet	3	of	5	Attorney Docket Number	020420

		NON PATENT LITERATURE DOCUMENTS					
Examiner Cite No.1		Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published					
		"Bankers Systems adds OFAC WatchDog™ software to its USA PATRIOT Act solutions," Bankers Systems Inc.®, Press Release dated June 13, 2002, printed from http://www.bankerssystems.com/newsroom/Press Releases/press29.html , Internet site, accessed on 8/15/2006, 2 pages.					
		JESSICA PALLAY, "CIP Hits the Street," dated October 10, 2003, printed from http://www.castlecops.com/modules.php?name=News&file=print&sid=3547 , Internet site, accessed on 8/15/2006, 2 pages.					
		LAURA BRUCE, "Patriot Act makes banks pry into new accounts," posted September 30, 2003, printed from http://www.bankrate.com/brm/news/bank/20030930a1.asp , Internet site, accessed on 8/15/2006, 6 pages.					
		"Holistic Compliance," Wall Street & Technology, dated November 17, 2003, printed from http://www.wallstreetandtech.com/showArticle.jhtml?articleID=16100954 , Internet site, accessed on 8/15/2006, 5 pages.					
		"PFPC to Tailor AML Tech for Hedge Funds," Operations Management, www.operationsmanagement.com, October 13, 2003, p. 5.					
		MATT ACKERMANN, "PFPC Offers Funds ID Rule Compliance Help," <u>American Banker,</u> September 30, 2003, 2 pages.					
		"PFPC Offers New Patriot Act Compliance Service for Fund Managers," dated October 7, 2003, printed from http://www.newsdesk.fundnexus.com/newsdesk/newsdesk.asp?StoryID=2234⌖=1&rp=1, Internet site, accessed on 10/07/2003, 1 page.					
		"PFPC Delivers AML System," <u>Fund Action</u> , <u>http://www.fundaction.com</u> , dated October 6, 2003, p. 6.					
		"Tool aids compliance with USA Patriot Act," <u>InvestmentNews</u> , October 20, 2003, page 27.					
	,	TOM LESWING, "ICI Surveys Members on Money Laundering Policies," dated October 31, 2003, printed from http://www.ignites.com/home/members/print.article.html?id=974218951 , Internet site, accessed on 10/31/03, 2 pages.					
		TOM LESWING, "Firms Mostly Up to Speed on Customer ID Regs," dated October 24, 2003, printed from http://www.ignites.com/home/members/print.article.html?id-974218868 , Internet site, accessed on 10/24/2003, 2 pages.					
		"PFPC to Offer Customer Identification Program (CIP) Services," PFPC Press Release dated September 29, 2003, 3 pages.					
		PFPC, Transfer Agency Division, Customer Identification Program ("CIP") Services Description, July 24, 2003, 3 pages.					

Examiner	Date	
Signature	Considered	

^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

PTO/SB/08B (08-03)
Approved for use through 07/31/2006. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number

			,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,		aplete if Known
					ipiete ii Kriowii
Substitute for fo	orm 1449A/PTO			Application Number	10/631,243
				Filing Date	July 31, 2003
	MATION DIS			First Named Inventor	Kimberly D. Seaman
STATE	MENT BY A	PPLI	CANT	Art Unit	3691
				Examiner Name	Bruce I. Ebersman
(use as	many sheets as	nece.	ssary)		
Sheet	4	of	5	Attorney Docket Number	020420

		NON PATENT LITERATURE DOCUMENTS	
Examiner Initials*	Cite No.1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
		PFPC, Transfer Agency Division, Answers to Frequently Asked Questions about Mutual Fund Customer Identification Programs, May 16, 2003, 2 pages.	
		"MANTAS ANTI-MONEY LAUNDERING", printed from http://www.mantas.com/Products/RegulatoryCompliance/AntiMoneyLaundering.html Internet site, accessed on 5/31/2007, 3 pages.	
		"Mantas Supports Section 312 of US Patriot Act," printed from http://www.mantas.com/Products/RegulatoryCompliance/USAPA312.html Internet site, accessed on 5/31/2007, 2 pages.	
		Protiviti Inc., "GUIDE TO U.S. ANTI-MONEY LAUNDERING REQUIREMENTS Frequently Asked Questions," http://web.archive.org/web/20061026211517/http://www.roberthalfmr.com/External_Sites/download s/RHMR/rhmr-us/RHMR_Link/financial_reporting/ProtivitiAMLFAQGuidev2.pdf, 10/26/2006, Second Edition, pages 31-32.	
		KRISSAH WILLIAMS, "Group 1 Software Posts Sharply Higher Profit; [Final Edition]," The Washington Post, July 31, 2002, p. E.05,	
		Memorandum from Investment Company Institute dated May 2, 2003 regarding "SEC and Treasury Adopt Final Customer Identification Program Ruel for Mutual Funds," 8 pages.	
		Memorandum from Investment Company Institute dated August 12, 2003 regarding "Additional Guidance Issued on Final customer Identification Program Rule," 6 pages.	
		Memorandum from Investment Company Institute dated January 9, 2004 regarding "Additional AML Guidance Issued on Customer Identification Program Rule," 11 pages.	
		SATISH M. KINI, "Designing Robust Anti-Money Laundering Programs for Mutual Funds," printed from https://www.ai-aba.org/aliaba/BUSINESS/BUSWOS Oct04.pdf, Internet site, accessed on 1/27/2005, 12 pages.	
		ACTIMIZE - Brokerage Compliance, Anti-Money Laundering, Financial Fraud Prevention, "Solutions - AML/USPA Compliance," printed from http://www.actimize.com/asp/sub/asp?sec=116⊂=947 , Internet site, accessed on 1/27/2005, 4 pages.	
		PAUL ADAMS, "Anti-Terrorist Rules Make It Harder to Open New Bank, Brokerage Account," printed from http://www.consumerwatchdog.org/corporate/nw/nw003637.php3 , Internet site, accessed on 1/27/2005, 4 pages.	

Examiner		Date	
Signature		Considered	
Marin III III	<u> </u>		

^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

PTO/SB/08B (08-03)
Approved for use through 07/31/2006. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE spond to a collection of information unless it contains a valid OMB control number Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of inform

Substitute for form 1449A/PTO				Complete if Known		
				Application Number	10/631,243	
				Filing Date	July 31, 2003	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT				First Named Inventor	Kimberly D. Seaman	
			CANT	Art Unit	3691	
				Examiner Name	Bruce I. Ebersman	
(use as many sheets as necessary)						
Sheet	5	of	5	Attorney Docket Number	020420	

		NON PATENT LITERATURE DOCUMENTS	
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
1711-2		Office Action dated October 9, 2007 for United States Patent Application No. 10/631,165, filed July 31, 2003 (Attorney Docket No. 020673).	
		Office Action dated September 4, 2008 for United States Patent Application No. 11/237,501, filed September 28, 2005 (Attorney Docket No. 030991-A).	
		Office Action dated May 28, 2009 for United States Patent Application No. 11/237,501, filed September 28, 2005 (Attorney Docket No. 030991-A).	
		Office Action dated December 30, 2008 for United States Patent Application No. 12/019,964, filed January 25, 2008 (Attorney Docket No. 070045).	
		Office Action dated April 9, 2009 for United States Patent Application No. 12/117,387, filed May 8, 2008 (Attorney Docket No. 030991-BCON).	
		Office Action dated September 15, 2009 for United States Patent Application No. 12/117,387, filed May 8, 2008 (Attorney Docket No. 030991-BCON).	
,			
			
			
			<u> </u>

Examiner Signature		Date Considered	
	l control of the cont	l	1

^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.